Incident Reporting and Investigation

Integrity in reporting and timely investigation are critical steps for the prevention of future occurrences. Laws and regulations result in two incident categories that mandate different types of reporting:

Incidents reportable to regulatory authorities: All safety and health incident investigations that are mandated to be reported should be promptly examined to identify means to prevent reoccurrence and communicated to the respective regulatory authorities.

Incidents that are non-reportable to regulatory authorities: Non-reportable safety and health incidents should also be investigated, analyzed and corrective actions developed and integrated into the safety and health management system. Such incidents include:

- Near miss events
- Property damage
- Operational, maintenance or process integrity incidents that could have a negative outcome.

Incident Reporting and Investigation is the process of:

- Understanding and reporting of recordable/reportable incidents.
- Investigating all incidents, including relevant near misses, to establish root cause, as appropriate.
- Capturing lessons learned/root cause data for management review and communication to employees.

How it works

The Role of Reporting and Investigations
Incidents cannot be investigated if they are not reported.

All personnel should be aware of what a reportable incident is within each company and as defined by regulatory requirements and company policy. All personnel should also understand the expectation to report an incident to management in a timely manner.

The quality of any root cause analysis is directly related to the quality of the incident investigation. Companies should ensure personnel are adequately trained to conduct required investigations or maintain close coordination with external resources capable of doing so. Incident investigations should focus on fact-finding—not fault-finding—with incident investigations focusing on root cause.

Flow of the Process

- Ensure all personnel are trained and understand the company's and regulatory authority's definition of a recordable/reportable incident and their obligation to comply.
- Investigate all incidents, including near misses, to a level of detail appropriate to their maximum likely outcome. All full investigations should reach root cause.
- Ensure that a sufficient percentage of company personnel, representing all company functions, are trained in effective incident investigation and root cause analysis.
- Develop or adopt a root cause analysis procedure that is integrated with the structure of the SHMS, i.e., root causes should relate to the SHMS, as a minimum.
- Capture the lessons learned and ensure they are communicated to all personnel with a need to know.
- Compile root cause data and forward to management for their review of the SHMS (See Module 19 Engineering and Construction).

Workbook Materials For Module 14

Incidents cannot be investigated if they are not reported. To prevent the recurrence of accidents and incidents, operations should ensure thorough and effective investigations take place and corrective actions are implemented. The procedure should apply to all functional areas at the site and include employees, vendors, visitors, and contractors. Incidents of consideration should include:

- Reportable health and safety accidents and events
- Near miss events
- Property damage
- Operational, maintenance or process integrity incidents that could have negative outcome. (issues that affect business continuity)

Reporting and Investigation Guideline

Departmental Responsibility:

Department: _____

Team Leader: _____

Members: _____   _____

                     _____   _____

                     _____   _____

Incident Classification:

Reportable to Regulatory Agencies:

Incident: (List each and Explain)

         _____   _____

                                 _____

                                 _____

Near Miss Health and Safety:

Incident: (List each and Explain)

         _____   _____

                                 _____

                                 _____

Property Damage:

Incident: (List each and Explain)

_____   _____
_____
_____

Operational, maintenance, or process integrity affecting:

Incident: (List each and Explain)

_____   _____
_____
_____

Incident Reporting:

Reporting Policy: _____
_____

Policy No.: _____

Incident: _____
_____

Incident Classification:

Reportable: _____

Near Miss: _____

Property Damage: _____

Business Continuity: _____

Agency/Department/Person(s) to Notify:

_____
_____
_____

Incident Reporting and Investigation

Notification Procedures: (call, form, person, etc.)

Method: _____

Timing: _____

Responsible Person: _____

Info Required: _____

_____

_____

Incident Response:

Incident: _____

_____

_____

Affected Area Procedures: (refer to ERP Plan)

Area to be preserved: Yes _____   No _____

Area to be evacuated: Yes _____   No _____

Release Authorization:

Person: _____

Responsibility: _____

Incident Investigation:

Incident Description: _____

Date & Time: _____

Reporting Person: _____

Incident Status:
Reportable: Yes _____   No _____
Agency: _____

Incident Classification:
    Fatality: _____
    Lost Time Injury/Illness: _____
    Medical Treatment: _____
    First Aid: _____
    Illness: _____
    Property Damage: _____
    Process Loss: _____

Incident Consequence:
    Actual Loss or Harm: _____
    Potential Loss or Harm: _____

Level of Consequence:
    Catastrophic: _____
    Major:_____
    Moderate: _____
    Minor:_____
    Insignificant: _____

Incident Reporting and Investigation

Personnel Required:

    Affected Person(s): _____

    Witnesses: _____

    Supervisor: _____

    Health & Safety Rep: _____

    Labor Rep: _____

    EMS Responder: _____

    Department Head/Rep: _____

    Other Management: _____

    _____

    _____

Review Committee: _____

    _____

    _____

Management Review:

    Title/Position: _____

    Title/Position: _____

    Title/Position: _____

    Title/Position: _____

Pertinent Incident Information:

(Should consider but not be limited to)

    Description of Incident: _____

    _____

    _____

    Identify Sources of Evidence: _____

    _____

    _____

Incident Reporting and Investigation

Persons to Interview: _____

_____

_____

Vehicles/Equipment Involved: _____

_____

_____

Documents/Records to Review: _____

_____

_____

Witness Interviews:

Person: _____

Job Classification: _____

Job at time of incident: _____

Interview Location: _____

Interviewer: _____

Date/Time: _____

Statement: _____

Attach Pictures or Drawings: _____

Incident Causes:

Type of Contact: _____

Existing Acts and Conditions: _____

_____

_____

Basic cause allowing acts and conditions to exist: _____

(Complete for each) _____

_____

_____

Notifications:

Timing:　Immediate ___　During Investigation____　Investigation Complete ___

Information: _____

Responsible Person: _____

　　Deliver to: _____

Methods: _____

Schedule: _____

Action: _____

_____

Temporary/Permanent: _____

Timing: _____

Responsible Person(s): _____

Audit for Adequacy: _____

Schedule: _____